

5 FAM 100 INFORMATION RESOURCE MANAGEMENT

5 FAM 110 MANAGEMENT OVERSIGHT OF INFORMATION TECHNOLOGY PROGRAMS

*(TL:IM-38; 05-06-2003)
(Office of Origin: IRM/APR/RG)*

5 FAM 111 GENERAL POLICY

(TL:IM-30; 01-23-2001)

It is the policy of the Department to provide senior management oversight and direction to its Information Technology (IT) program; therefore, the information technology used in the Department must:

- (1) Support strategic IT and business goals, objectives, and priorities;
- (2) Be consistent with IT standards, and guidelines;
- (3) Follow sound life cycle management practices; and
- (4) Be controlled, through the capital planning process, for those investments, which are funded by the IT Central Investment Fund (CIF).

5 FAM 112 APPLICABILITY OF POLICY

(TL:IM-30; 01-23-2001)

This policy applies to all Department organizational elements.

5 FAM 113 AUTHORITIES

(TL:IM-30; 01-23-2001)

- a. The Paperwork Reduction Act (PRA) of 1995 (44 U.S.C. Section 3501, et. seq.).
- b. The Clinger-Cohen Act of 1996 (Information Technology Management Reform Act—ITMRA) (40 U.S.C. Section 1422 et. seq.).
- c. Government Performance and Results Act of 1993 (GPRA) (5 U.S.C. Section 306 and 31 U.S.C. Section 1115 et. seq.).
- d. The Office of Management and Budget Circular Bulletin A-130.
- e. Executive Order 13011 (Federal Information Technology).

5 FAM 114 DEFINITIONS

(TL:IM-38; 05-06-2003)

- a. **Information Technology (IT)**—Any equipment, software, and firmware or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. IT includes computers, ancillary equipment, software, firmware, and similar procedures, services (including support services), and related resources.
- b. **Enterprise Architecture (EA)**—An integrated framework for evolving or maintaining existing information technology and for guiding the acquisition of new information technology in accordance with the agency's strategic goals and IT strategic goals.

5 FAM 115 IT MANAGEMENT OVERSIGHT OBJECTIVES

(TL:IM-38; 05-06-2003)

The IT management oversight objectives are to:

- (1) Ensure that information technology investments are consistent with and support the Department's mission and priorities, as documented in the Department's Strategic Plan;

- (2) Involve top-level management in the prioritization of information technology initiatives and in defining the future direction of the information technology strategic planning;
- (3) Acquaint top-level management with the potential and risks of IT initiatives;
- (4) Ensure that IT investments are consistent with the *Department's Enterprise Architecture (EA) and strategic and tactical goals*;
- (5) Ensure that IT initiatives follow sound life cycle management principles and practices, as contained in 5 FAM 600;
- (6) Identify and resolve issues and problems (such as staffing, funding, and planning) early in the life cycle of an IT investment (see 5 FAM 600 for more information on life-cycle management issues); and
- (7) Perform regular reviews of IT investments, and evaluate the results of these reviews to identify opportunities for improvement, to ensure Departmental goals and objectives are being met.

5 FAM 116 MANAGEMENT OVERSIGHT RESPONSIBILITIES

(TL:IM-30; 01-23-2001)

Responsibilities for overseeing the management of the Department's IT program are shared by the following:

- Under Secretary for Management (M);
- Chief Information Officer (CIO);
- Chief Financial Officer (CFO);
- Information Technology Program Board (ITPB);
- Technical Review Advisory Group (TRAG);
- Management Review Advisory Group (MRAG);
- IT Configuration Control Board (CCB); and
- Department Program Managers.

5 FAM 116.1 Under Secretary for Management (M)

(TL:IM-30; 01-23-2001)

The Under Secretary for Management (M) directs and administers the Department's worldwide information resources and chairs the IT Program Board.

5 FAM 116.2 Chief Information Officer (CIO)

(TL:IM-30; 01-23-2001)

The CIO serves as the principal adviser to the Secretary of State and the Under Secretary for Management (M), dealing with the development, and implementation of policies, plans, and programs for the cost-effective, efficient, and timely application of information technology to meet the Department's requirements. See 5 FAM 1000 for CIO responsibilities related to the Department's IT planning process. See 1 FAM 271 for additional duties and responsibilities of the CIO.

5 FAM 116.3 Chief Financial Officer (CFO)

(TL:IM-30; 01-23-2001)

In accordance with the PRA of 1995 [Section 3506 (b)(3)(B)], "each agency shall develop and maintain an ongoing process to, in cooperation with the agency CFO, develop a full and accurate accounting of information technology expenditures, related expenses, and results." The CFO also serves on the ITPB.

5 FAM 116.4 Information Technology Program Board (ITPB)

(TL:IM-30; 01-23-2001)

- a. The ITPB is the principal IT advisory entity to the Under Secretary for Management (M) and functions as the Department's capital planning "Executive Review Committee." The Under Secretary for Management chairs the ITPB. The Chief Information Officer (CIO) is the Deputy Chair. The members of the ITPB are usually assistant secretaries representing a cross section of Department bureaus, including both geographic and functional bureaus. The membership of the board was established in the ITPB charter, which was approved by the Under Secretary for Management. Any change in membership will be documented in the

charter.

- b. The primary function of the ITPB is to focus on strategic IT issues, i.e., issues involving the direction of IT resources and projects towards the achievement of the Department's strategic goals and objectives. The ITPB functions as the capital investment board that reviews IT projects competing for funding from the Department's IT Central Fund. The ITPB approves the Department's IT Strategic Plan and makes recommendations to M on IT budget formulation and funding allocation issues. Two lower groups—the Management Review Advisory Group and the Technical Review Advisory Group—support the ITPB.
- c. Additional information about the ITPB can be found at 5 FAM 1000.

5 FAM 116.5 Technical Review Advisory Group (TRAG)

(TL:IM-38; 05-06-2003)

- a. The Deputy CIO for Architecture, Planning and Regulations (IRM/APR) chairs the TRAG. It evaluates the technical merits and architectural compliance of proposed IT projects. This group determines the technical risks inherent in these projects and whether the technical objectives are feasible as proposed by the project sponsor. The TRAG advises the senior-level Information Technology Program Board (ITPB) on the technical merits of IT projects and activities. The TRAG applies the standards defined in the *Enterprise Architecture (EA)*. The TRAG works closely with the Management Review Advisory Group (MRAG), which evaluates the business and investment merits of the Department's major IT projects and activities.
- b. Additional information about the TRAG can be found in 5 FAM 1042.3.

5 FAM 116.6 Management Review Advisory Group (MRAG)

(TL:IM-30; 01-23-2001)

- a. The MRAG is chaired by the Deputy Assistant Secretary for Budget and Planning and Budget (FMP/BP) and includes representatives of regional and functional bureaus (on an annually rotating basis). The MRAG reviews the cost benefit analyses of proposed IT projects and makes preliminary determinations about the feasibility of the investments and whether they contribute significantly to the Department's IT strategic and

business goals and objectives, as outlined in the strategic plans and architectural documents.

- b. The MRAG works closely with a second ITPB advisory board, the Technical Review Advisory Group (TRAG), which evaluates the technical merits of those same IT projects and activities.
- c. Additional information about the MRAG can be found in 5 FAM 1042.4.

5 FAM 116.7 Information Technology (IT) Configuration Control Board (CCB)

(TL:IM-30; 01-23-2001)

The CCB oversees and manages the Department's worldwide classified and unclassified technical baseline. The CCB oversees the deployment of IT upgrades and addresses issues of configuration tracking, change control, and network planning and management. The CCB sets the standard for the Department's classified and unclassified technical baseline and monitors compliance with that standard. The CCB process is a logical and necessary link between IT project initiation and the funding of approved IT initiatives.

5 FAM 116.8 Department Program Managers

(TL:IM-30; 01-23-2001)

Department program officials, in consultation with the CIO and the CFO, define program information needs and develop strategies, systems, and capabilities to meet those needs. This responsibility is stated in the Paperwork Reduction Act [Section 3506 (a)(4)]. The responsibilities of these program officials also include the following:

- (1) Accountability for IT resources assigned to and supporting the programs under such official;
- (2) Need to work together, with IT personnel, in the planning, design, development, management and evaluation of IT systems, especially those that are critical to achieving improved mission success;
- (3) Identifying program-specific requirements to improve business processes and related business systems;
- (4) Providing input on technical and program requirements (as required) to support IT architecture development;

- (5) Providing input on IT projects to the CIO and the Deputy CIO for Architecture, Planning, and Regulations (IRM/APR) for incorporation into the Department's IT Tactical Plan;
- (6) As requested by the IT Program Board, presenting project requirements before the Board (presentations must be supported by preparation and timely submission of required documentation); and
- (7) Ensuring that IT initiatives are:
 - Managed according to sound life cycle management principles and practices;
 - Conforming to the guidance in this volume of the FAM; and
 - Following IT Program Board-approved IT plans, policies, standards, and guidelines.

5 FAM 117 THROUGH 119 UNASSIGNED